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STALLMAN POLLOCK LLP 415 512 1362 → 170374 40

NO. 546 0004

PATENT

-1-

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

James Peterson et al.

Application No.: 09/654,627

Filed: September 5, 2000

For: SYSTEM AND METHOD FOR  
TAX SENSITIVE PORTFOLIO  
OPTIMIZATION

Group No.: 2161

Examiner: Unknown

SUBMISSION OF REVOCATION OF  
PRIOR POWERS AND APPOINTMENT  
OF NEW COUNSEL BY ASSIGNEE

121 Spear Street, Suite 290  
San Francisco, CA 94105

Commissioner for Patents  
Washington, DC 20231

Sir:

Enclosed for filing please find a duly executed Revocation of Prior Powers and Appointment of New Counsel by Assignee for the above-identified application which specifies an Assignment recordal date of September 5, 2000, at Reel 11066, Frame 875, and shows Assignee's entire right, title and interest to establish ownership.

Respectfully submitted,

STALLMAN & POLLOCK LLP

Date: October 31, 2002

By:

  
Brian J. Keating (Reg. No. 39,520)

Attorneys for Applicant(s)

121 Spear Street, Suite 290  
San Francisco, CA 94105  
Tel.: (415) 512-1312  
Fax: (415) 512-1362

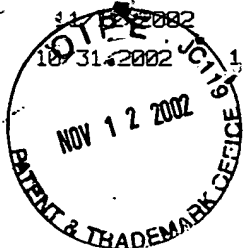
Atty Docket No.: SCHB-2700

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NO. 546 0005

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NO. 524 0003

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

James Peterson et al.

Appl. No.: 09/654,627

Filed: September 5, 2000

For: SYSTEM AND METHOD FOR  
TAX SENSITIVE PORTFOLIO  
OPTIMIZATION

Group Art: 2161

Examiner: Unknown

REVOCATION OF PRIOR POWERS  
AND APPOINTMENT OF NEW  
COUNSEL BY ASSIGNEECommissioner for Patents  
Washington, D.C. 20231

Sir:

CHARLES SCHWAB & CO., assignee of the entire right title and interest in the above-identified application by assignment dated September 5, 2000, which assignment was recorded in the Patent and Trademark Office on September 5, 2000, at Reel 11066, frame 875, hereby revokes all prior powers of attorney and appoints the members of the firm of STALLMAN & POLLOCK LLP, a firm composed of:

Michael A. Stallman	29,444	Kathleen A. Frost	37,326
Michael J. Pollock	29,098	Brian J. Keating	39,520

as its attorneys with full power of substitution to prosecute this application and to transact all business in the Patent and Trademark Office in connection therewith.

Please direct all correspondence regarding this application to the following:

STALLMAN & POLLOCK LLP  
Attn: Brian J. Keating  
121 Spear Street, Suite 290  
San Francisco, CA 94105

Telephone: (415) 512-1312  
Facsimile: (415) 512-1362

CHARLES SCHWAB &amp; CO.

Dated: 10/31/02

By: [Signature]  
Name: Mustif Cassim  
Title: Vice President & Associate General Counsel

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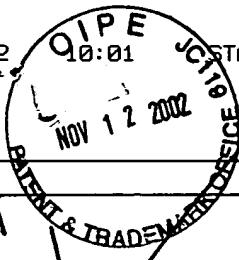
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STALLMAN POLLOCK LLP 415 512 1362 → 1703746-240

NO. 546 0001

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SALLY  
STITH  
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**STALLMAN & POLLOCK LLP**

Intellectual Property Attorneys

121 Spear Street, Suite 290  
San Francisco, CA 94105Telephone: (415) 512-1312  
Facsimile: (415) 512-1362**RECEIVED****GROUP 3600****TO:** Attn: Ella Washington  
Commissioner for Patents  
Washington, D.C. 20231**FAX:** 703-746-7240**PHONE:** 703-306-5631**FROM:** BRIAN J. KEATINGTelephone: (415) 512-1312 Ext. 104  
Facsimile: (415) 512-1362

Email: bkeating@stallmanpollock.com

**DATE:** November 12, 2002**TIME:****PAGES:** 5 (including cover)If you did not receive all of the pages in this fax, please  
contact Georgia K. Stith at (415) 512-1312 Ext. 106.**OUR FILE NUMBER:** SCHB-2700**RETURN TO:** G. Stith**RECEIVED**  
FEB 07 2003  
**GROUP 3600****MESSAGE: U.S. Patent Appln. No. 09/654,627, filed 09/05/2000**

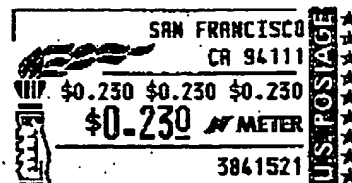
Ella, pursuant to our telephone conversation this A.M., I am attaching copies of the papers we mailed to the Patent Office on October 31, 2002, regarding the submission of the Revocation of Prior Powers. Please enter into the PTO's database Applicants' "new counsel" contact information and address. Please note, pursuant to your request, we are NOT including a copy of the Status Request which was answered today by Ms. Wong. If you have any questions, please call me at (415) 512-1312, Ext. 106. Thank you for your assistance in this matter.

Georgia K. Stith

The documents accompanying this facsimile transmission contain information from the law firm of STALLMAN & POLLOCK LLP which is confidential or privileged. The information is intended to be for the use of the individual or entity named on this transmission sheet. If you are not the intended recipient, be aware that any disclosure, copying, distribution or use of the contents of this faxed information is prohibited. If you have received this facsimile in error, please notify us by telephone immediately so that we can arrange for the return of the original documents to us.



U.S. DEPARTMENT OF COMMERCE  
PATENT OFFICE  
WASHINGTON, D.C. 20231



### Stallman & Pollock LLP

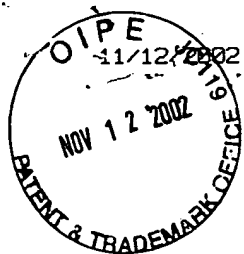
Intellectual Property Attorneys  
121 Spear Street, Suite 290  
San Francisco, California 94105

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Serial/Patent/Reg. No. **09/654,627** S&P File No. **SCHB-2700** By: **BJK:gks**  
In the Matter of the Application of: **James Peterson et al.**  
Title/Mark: **SYSTEM AND METHOD FOR TAX SENSITIVE PORTFOLIO OPTIMIZATION**  
Date Mailed: **10/31/2002** Due Date:

The following has been received in the U.S. Patent and Trademark Office on the date stamped herein:

☒ **Sub. of Revo. of Prior Pwrs & Appt. of New Counsel by Assignee**  
☐ Transmittal Letter  
☐ Patent Application  
☐ pgs. specification including \_\_\_\_\_ pgs. claims  
☐ Drawings \_\_\_\_\_ sheets \_\_\_\_\_ formal \_\_\_\_\_ informal  
☐ Oath/Declaration  
☐ Assignment w/ Form PTO-1595  
☒ **Power of Attorney - Revo (signed)**  
☐ Small Entity Declaration  
☐ Deposit Account Authorization (in duplicate)  
☐ Information Disclosure Statement, PTO-1449 w/ \_\_\_\_\_ references  
☐ Check \$ \_\_\_\_\_  
☐ Amendment/Response  
☐ Request for Extension of Time (\_\_\_\_\_ months)(patent)  
☐ Terminal Disclaimer  
☐ Notice of Appeal  
☐ Appeal Brief (in triplicate)  
☐ Letter to Official Draftsman  
☐ Issue Fee Transmittal  
☐ Maintenance Fee Transmittal  
☒ Request for **Status**  
☐ Trademark (Use) Appln. Drawing and \_\_\_\_\_ Specimens  
☐ ITU Trademark Application and Drawing  
☐ Request for Extension to Time (trademark)  
☐ (Notice of Allowance: \_\_\_\_\_)  
☐ Statement of Use/Amendment to Allege Use  
☐ Section 8 & 15 Declaration  
☐ Trademark Renewal Application and \_\_\_\_\_ Specimen  
☐ Opposition to \_\_\_\_\_  
☐ Petition for Cancellation  
☒ Certificate of Mailing  
☐ Express Mail Certificate No. \_\_\_\_\_  
☐ Certificate under \$3.73(b)  
☐ Certificate of Correction (PTO Form 1050)  
☒ **Letter to the Commis-**  
☒ **sion for Patents**  
☒ Other: **postcard**



11/12/2002

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NO. 546 0003

PATENT

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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

Inventor(s): James Peterson et al.

Application No.: 09/654,627

Filed: September 5, 2000

For: SYSTEM AND METHOD FOR  
TAX SENSITIVE PORTFOLIO  
OPTIMIZATION

Group Art Unit: 2161

Examiner: Unknown

**LETTER TO THE COMMISSIONER  
FOR PATENTS**121 Spear Street, Suite 290  
San Francisco, CA 94105  
(415) 512-1312Commissioner for Patents  
Washington, D.C. 20231**CERTIFICATE OF MAILING**I hereby certify that this correspondence is being deposited  
with the United States Postal Service as First Class Mail in an  
envelope, addressed to: Commissioner for Patents,  
Washington, DC 20231 on October 31, 2002.

- STALLMAN &amp; POLLOCK LLP

Dated: 10/31/2002 By: Georgia E. Stith

Georgia E. Stith

Sir:

Enclosed for filing in the above-identified application are:

1. Submission of Revocation of Prior Powers and Appointment of New Counsel by Assignee (including executed Revocation); and
2. Status Request.

Respectfully submitted,

STALLMAN &amp; POLLOCK LLP

Dated: October 31, 2002By: Brian J. KeatingBrian J. Keating  
Reg. No. 39,520

Attorneys for Applicant(s)

Any Docket No. SCHB-2700

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